

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER

SON-3071

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

10/567,163

INTERNATIONAL APPLICATION NO.  
PCT/JP2004/011806INTERNATIONAL FILING DATE  
11 August 2004PRIORITY DATE CLAIMED  
19 August 2003

## TITLE OF INVENTION

SEMICONDUCTOR DEVICE AND METHOD OF FABRICATING THE SAME

APPLICANT(S) FOR DO/EO/US

Shin Iwabuchi

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
  2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
  3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
  4. ☐ The US has been elected (Article 31).
  5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
    - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
    - b. ☐ Has been communicated by the International Bureau.
    - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
  6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
    - a. ☐ is attached hereto.
    - b. ☐ Has been previously submitted under 35 U.S.C. 154(d)(4).
  7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
    - a. ☐ Are attached hereto (required only if not communicated by the International Bureau).
    - b. ☐ have been communicated by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☐ have not been made and will not be made.
  8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
  9. ☐ An oath or declaration of the inventor(s) - **unexecuted**.
  10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11 to 20 below concern document(s) or information included:**
11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
  12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
  13. ☐ A Letter of Clarification of Articles 19 and 34 Amendments.
  14. ☐ An Application Data Sheet under 37 CFR 1.76.
  15. ☐ A substitute specification.
  16. ☐ A power of attorney and/or change of address letter.
  17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
  18. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
  19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).

| PTO-1390 (Rev. 07-2005)<br>Approved for use through 03/31/2007. OMB 0651-0021<br>U. S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE   |   |   |                     |
|---|---|---|---------------------|
| Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.   |   |   |                     |
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5)<br><b>10/567,163</b>  | INTERNATIONAL APPLICATION NO.<br><b>PCT/JP2004/011806</b> | ATTORNEY'S DOCKET NUMBER<br><b>SON-3071</b>                                   |                     |
| 20. <input type="checkbox"/> Other items or information:  |   |   |                     |
| The following fees have been submitted  |   |   |                     |
| 21. <input type="checkbox"/> Basic national fee (37 CFR 1.492(a)) ..... \$300   |   | <b>CALCULATIONS</b><br>\$   | <b>PTO USE ONLY</b> |
| 22. <input type="checkbox"/> Examination fee (37 CFR 1.492(c))<br>If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) ..... \$0<br>All other situations ..... \$200  |   | \$  |                     |
| 23. <input type="checkbox"/> Search fee (37 CFR 1.492(b))<br>If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) ..... \$0<br>Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority ..... \$100<br>International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB ..... \$400<br>All other situations ..... \$500 |   | \$  |                     |
| <b>TOTAL OF 21, 22 and 23 =</b>   |   | \$  |                     |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)).<br>The fee is \$250 for each additional 50 sheets of paper or fraction thereof.   |   |   |                     |
| Total Sheets  | Extra Sheets  | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE                |
| 19 - 100 =  | /50 =   |   | x \$250.00          |
|   |   |   | \$                  |
| Surcharge of \$130 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).  |   | \$  |                     |
| CLAIMS  | NUMBER FILED  | NUMBER EXTRA  | RATE                |
| Total claims  | 12 - 20 =   |   | x 0.00              |
| Independent claims  | 3 - 3 =   |   | x 0.00              |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)   |   | +   |                     |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |   | \$  | 0.00                |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.  |   |   |                     |
| <b>SUBTOTAL =</b>   |   | \$  | 0.00                |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).   |   | \$  |                     |
| <b>TOTAL NATIONAL FEE =</b>   |   | \$  | 0.00                |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property  |   | \$  |                     |
| <b>TOTAL FEES ENCLOSED =</b>  |   | \$  | 0.00                |
|   |   | Amount to be refunded:  | \$                  |
|   |   | Amount to be charged  | \$                  |

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

- a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☐ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. \_\_\_\_\_. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Ronald P. Kananen  
RADER, FISHMAN & GRAUER PLLC  
1233 20th Street, N.W., Suite 501  
Washington, DC 20036  
(202) 955-3750  
Date: July 17, 2006

CUSTOMER NUMBER: 23353

SIGNATURE

Ronald P. Kananen

NAME

24,104

REGISTRATION NUMBER

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Nationalization Application of  
PCT/JP2004/011806 of

Shin IWABUCHI

Application No.: 10/567,163

Confirmation No.: Not yet known

Filed: February 3, 2006

Art Unit: Not yet known

For: SEMICONDUCTOR DEVICE AND METHOD  
OF FABRICATING THE SAME

Examiner: Not yet known

**Attn: PCT Section**

**SUBMISSION OF DECLARATION**

We have enclosed the executed Declaration in connection with the above-identified application. A copy of the postcard acknowledging receipt of the original nationalization papers is attached. No Notice of Missing Requirements has been received.

Applicant believes no fee is due with this response. However, if a fee is due, please charge our Deposit Account No. 18-0013, under Order No. SON-3071 from which the undersigned is authorized to draw.

Dated: July 11, 2007

Respectfully submitted,

By 

Ronald P. Kananen

Registration No.: 24,104

RADER, FISHMAN & GRAUER PLLC

1233 20th Street, N.W., Suite 501

Washington, DC 20036

(202) 955-3750

Attorney for Applicant